

Guide for Review of ESG Other Federal Requirements			
Name of Grantee:			
Staff Consulted:			
Name(s) of Reviewer(s)		Date	

NOTE: All questions that address requirements contain the citation for the source of the requirement (statute, regulation, NOFA, or grant agreement). Note, however, that certain questions in this Exhibit reference reviews conducted using Exhibits elsewhere in this Handbook. If a requirement is not met, HUD must make a finding of noncompliance. Where responses to questions for this Exhibit are based on other Exhibit reviews, the conclusions should be noted here, as applicable. Other questions (questions that do not contain the citation for the requirement) do not address requirements, but are included to assist the reviewer in understanding the participant's program more fully and/or to identify issues that, if not properly addressed, could result in deficient performance. Negative conclusions to these questions may result in a "concern" being raised, but not a "**finding**."

Instructions: This Exhibit is designed to evaluate the ESG grantee's compliance with other applicable Federal requirements. Note, however, that the provisions of the Davis-Bacon Act do not apply to the ESG program per 24 CFR 576.57(i). For certain requirements, a reference is made to other Exhibits or Chapters in this Handbook. If other Exhibits are used to monitor these areas, only the conclusion(s) should be noted here with a cross-reference to the supporting review documentation/Exhibit. If the requirement does not pertain to the ESG grantee, mark "N/A." If the area is not covered during this monitoring, write under the applicable "Describe Basis for Conclusion" box: "Not covered due to _____ (*provide reason*)."
If compliance monitoring for the areas below has been conducted in the past 12 months, under either the ESG or other HUD programs, it is not necessary to review these areas again unless the last risk analysis results or subsequent information raise questions or concerns.

Questions:

A. DRUG-FREE WORKPLACE

1.

Does the ESG grantee have a drug-free workplace statement per the requirements of 24 CFR 21.200? [24 CFR 576.31(b)(2), 24 CFR 91.225(a)(3) - for units of local government or 24 CFR 91.325(a)(3) - for states]	<input style="width: 30px; height: 20px;" type="checkbox"/> Yes	<input style="width: 30px; height: 20px;" type="checkbox"/> No
Describe Basis for Conclusion: <div style="height: 100px; border: 1px solid black;"></div>		

Exhibit 9-12
Emergency Shelter Grants (ESG) Program

2.

If the requirements of the Drug-Free Workplace actions were monitored, is the ESG grantee in compliance? [24 CFR 91.225(a)(3) or 24 CFR 91.325(a)(3); 24 CFR 576.31(b)(2)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: <div style="height: 150px; border: 1px solid black;"></div>	

B. LOBBYING RESTRICTIONS

3.

a. Does the ESG grantee conduct lobbying?	<input type="checkbox"/> <input type="checkbox"/> Yes No
Describe Basis for Conclusion: <div style="height: 150px; border: 1px solid black;"></div>	

b. If the answer to “a” above is “yes,” has the grantee correctly filed a certification and disclosure form? [24 CFR 576.57(h); 24 CFR 91.225(a)(4) - for units of local government or 24 CFR 91.325(a)(4) - for states]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion: <div style="height: 150px; border: 1px solid black;"></div>	

4.

D. ENVIRONMENTAL REVIEW PROCEDURES

5.

<p>For the ESG activities reviewed, is there evidence of the grantee's compliance with the National Environmental Policy Act? (If no, the program may warrant further review pursuant to Chapter 21 of this Handbook.) [24 CFR 576.57(e) and 24 CFR 58.4]</p>	<div> <input type="checkbox"/> <input type="checkbox"/> </div> <div> Yes No </div>
<p>Describe Basis for Conclusion:</p>	

